HIGHER EDUCATION

CONTENTS AND FORMAT OF ACCOUNTABILITY REPORTS

The Accountability Report should be based on the Malcolm Baldrige performance excellence criteria and contain the following:

- Transmittal Form (use transmittal form enclosed).

- Section I - Executive Summary (*up to 3 pages*) to consist of the following elements:
    1. Organization's stated purpose, mission, and values;
    2. Major achievements from past year;
    3. Key strategic goals for the present and future years;
    4. Opportunities and barriers that may affect the organization's success in fulfilling its mission and achieving its strategic goals (This establishes the basis for the organization's budget request.);
    5. How the accountability report is used to improve organizational performance.

- Section II – Organizational Profile (*up to 4 pages – page limit does not include Expenditure/Appropriations Chart and Major Program Areas Chart*)*;* a fact-based description of the organization. List the following elements (bullet style):
    1. Your organization's main educational programs, offerings, and services and the primary methods by which these are delivered;
    2. Your key student segments, stakeholder groups, and market segments, as appropriate, and their key requirements/ expectations;
    3. Your operating locations;
    4. The number of employees you have, segmented by faculty and staff or other appropriate categories;

Note: "Faculty and staff" refers to your organization's permanent, temporary and part-time personnel, as well as any contract employees supervised by your organization. Contract staff supervised by a contractor should be addressed in Category 6.

    5. The regulatory environment under which your organization operates;
    6. Your governance system (the reporting relationships between your governance board/policy making body and your senior leaders, as appropriate);
    7. Your key suppliers and partners;
    8. Your key competitors (other educational systems that directly compete for the same type of studies, research grants, etc.);
    9. Your principal factors that determine your competitive success. The key changes that are taking place that significantly impact your competitive situation;

10. Your key strategic challenges (could include operational, human resource, financial, and community-related strategic challenges);
11. Your performance improvement systems;
12. Your organizational structure;
13. Your **Expenditures/Appropriations Chart** (use chart form available at www.budget.sc.gov);
14. Your **Major Program Areas Chart** (use chart form available at www.budget.sc.gov).

Note: When completing the **Major Program Areas Chart**, please list the programs that comprise at least 80% of the total budget. The remainder of programs should be "listed ONLY" in the box below the chart, and those program expenditures should be detailed in the chart's section entitled "Remainder of Expenditures." The **Key Cross References** for financial results column should link major programs to charts/graphs in Category 7 Results (ex. Chart 7.3-1 or Graph 7.3-2).

- Section III – Elements of Malcolm Baldrige Criteria as follows:

  Provide up to 3 pages discussing the following category:
  Category 1 – Senior Leadership, Governance, and Social Responsibility.

  Provide up to 15 pages total discussing the following five categories: (Page limit does not include Strategic Planning Chart)

  Category 2 – Strategic Planning. (Include **Strategic Planning Chart** – use chart form available at www.budget.sc.gov)

  Note: The **Key Action Plan/Initiative(s)** column in the **Strategic Planning Chart** should include your initiatives and plans to accomplish the goals/objectives listed in the second column. The **Key Cross References** column should link listed programs to charts/graphs in Category 7 – Results (ex. Chart 7.4-1 or Graph 7.2-2).

  Category 3 – Student, Stakeholder, and Market Focus
  Category 4 – Measurement, Analysis, and Knowledge Management
  Category 5 – Faculty and Staff Focus
  Category 6 – Process Management

  Provide up to 25 pages presenting the final category:

  Category 7 – Organizational Performance Results (Key Result Areas include: Student Learning Results; Student and Stakeholder Focused

Results; Budgetary, Financial, and Market Results; Faculty and Staff Focus Results; Organizational Effectiveness Results, and Leadership and Social Responsibility Results).

Note: Results Information (i.e. each chart, graph, table) reported for Category 7 should be referenced to the specific question number (Ex. Chart 7.1-1, Graph 7.1-2, Table 7.1-3) The first digit identifies the Category in which the questions are asked. The second digit identifies the specific question number. The third digit identifies the sequential position of the specific chart, graph or table included in your response to each question.

The total length of the report is a maximum of 50 pages (page limit does not include the following charts: Expenditure/Appropriations Chart, Major Program Areas Chart, and Strategic Planning Chart.)

Elements of Malcolm Baldrige Criteria

Please specifically address the question as stated, even if you have to report that you have made no progress in a certain area. If the organization is still in the beginning stages of developing processes in any particular category, please note what the organization's plans are to make progress.

Category 1 – Senior Leadership, Governance, and Social Responsibility

The Leadership Category examines how your organization's senior leaders guide and sustain your organization. It also examines your organizations governance and how your organization addresses its ethical, legal, and community responsibilities.

1. How do senior leaders develop and deploy their organization's vision and values throughout the leadership system, to all faculty and staff, to key suppliers and partners, and to students and stakeholders, as appropriate? How do their personal actions reflect a commitment to the organizational values

2. How do senior leaders create a focus on action to accomplish the organization's objectives, improve performance, and attain your vision?

3. How do senior leaders promote and support an environment that fosters and requires: legal and ethical behavior; and, fiscal, legal, and regulatory accountability? How are these monitored?

4. How do senior leaders create an environment for organizational, faculty, and staff learning?

5. How do senior leaders promote and personally participate in succession planning and the development of future organizational leaders?

6. How do senior leaders communicate with, empower, and motivate all faculty and staff throughout the organization? How do senior leaders take an active role in

faculty and staff reward and recognition processes to reinforce high performance throughout the organization?

7. How does your organization evaluate the performance of your senior leaders, and the governance board/policy making body? How do senior leaders use these performance reviews to improve their own leadership effectiveness and that of the board and leadership system, as appropriate?

8. How does your organization address and anticipate any adverse impacts of its programs, offerings, services, and operations? What are the key compliance related processes, goals, and measures? (Actual results should be reported in Category 7).

9. How do senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, faculty and staff, and the organization's students contribute to improving these communities.

Note: In describing your organization's support of the communities in which it operates, include the contributions of your senior leaders, faculty, staff, and students. Areas of community support appropriate for inclusion might include your efforts to strengthen local community services, community education, the environment, participation and practices of professional associations.

Category 2 – Strategic Planning

The Strategic Planning Category examines how your organization develops strategic objectives and action plans. It also examines how your strategic objectives and action plans are deployed, changed if circumstances require, and how progress is measured.

1. What is your Strategic Planning process, including key participants, and how does it address:

    a. Your organizations' strengths, weaknesses, opportunities and threats;

    b. Financial, regulatory, and other potential risks;

    c. Shifts in technology, student and community demographics, markets, and competition;

    d. Human resource capabilities and needs;

    e. The opportunities and barriers you described in the Executive Summary, (question 4);

    f. Long-term organizational sustainability and organizational continuity in emergencies;

    g. Your ability to execute the strategic plan.

2. How do your strategic objectives address the strategic challenges you identified in your Organizational Profile? (Section II, question 10).

3. How do you evaluate and improve your strategic planning process?

<u>Note:</u> Strategic Planning process refers to your organization's approach (formal or informal) to a future-oriented basis for business decision, resource allocations and management, to include how relevant data and information are gathered and analyzed. This process may use various types of forecasts, projections, options, scenarios or other approaches to address the future.

4. How do you develop and track action plans that address your key strategic objectives? Include how you allocate resources to ensure the accomplishment of your action plans.

5. How do you communicate and deploy your strategic objectives, action plans and related performance measures?

6. How do you measure progress on your action plans?

7. If the organization's strategic plan is available to the public through its the organization's internet homepage, please provide an address for that plan on the website.

<u>Note:</u> List your key strategic objectives (goals) and your key action plans/initiatives in the Strategic Planning Chart.

Category 3 – Student, Stakeholder, and Market Focus

The Student, Stakeholder, and Market Focus Category examines how your organization determines the requirements, expectations, and preferences of students, stakeholders, and markets. It also examines how your organization builds relationships with students and stakeholders, and the key factors that attract students, and lead to student and stakeholder satisfaction, loyalty, increased educational services and programs, and organizational sustainability.

<u>Note:</u> This category addresses students and external stakeholders only – Differing requirements may exist for your various internal customer groups.

1. How do you identify the student and market segments your educational programs will address? How do you determine which student and market segments to pursue for current and future educational programs, offerings, and services?

2. How do you keep your listening and learning methods current with changing student and stakeholder needs and expectations (including educational programs, offerings, and service features)? How do you determine the relative importance of the expectations to these groups' decisions related to enrollment?

3. How do you use information from current, former, and future students and stakeholders to keep services and programs relevant, and provide for continuous improvement?

4. How do you determine student and stakeholder satisfaction and dissatisfaction and use this information to improve?

5. How do you build positive relationships to attract and retain students and stakeholders, to enhance student performance, and to meet and exceed their expectations for learning? Indicate any key distinctions between different student and stakeholder groups.

Note: "Educational programs, offerings, and service features" refers to key characteristics of programs, offerings, and services that are available throughout the period of time students attend your organization. This includes the period from the students' initial decision to enroll in your organization through the time of their departure.

Category 4 – Measurement, Analysis, and Knowledge Management

The Measurement, Analysis, and Knowledge Management Category examines how your organization selects, aggregates, analyzes, manages, and improves its data, information, and knowledge assets. It also examines how your organization reviews its performance.

Note: The terms "information" and "analysis" refer to the key measurements used by your organization to analyze performance. Because of the key nature of the data and information, they should be linked to the organization's operations, systems and processes described in your Organizational Profile and Category 6 – Process Management.

The term "knowledge assets" refers to the accumulated intellectual resources of your organization. It is the knowledge possessed by your organization and its faculty and staff in the form of information, ideas, learning, understanding, memory, insights, cognitive and technical skills, and capabilities.

1. How do you select which operations, processes and systems to measure to determine student learning, and for tracking organizational performance, including progress relative to strategic objectives and action plans?

2. How do you use data/information analysis to provide effective support for decision making throughout your organization?

Note: Analysis includes trends, projections, comparisons, and cause-effect correlation intended to support performance reviews and the setting of priorities for resource use. Analysis draws upon many types of data including student and stakeholder related requirements, operational, competitive, and others. (Results are reported in Category 7).

3. What are your key measures, how do you review them, and how do you keep them current with educational service needs and directions?

4. How do you select and use key comparative data and information from within and outside the academic community to support operational and strategic decision making?

5. How do you ensure data integrity, timeliness, accuracy, security and availability for decision making?

6. How do you translate organizational performance review findings into priorities for continuous improvement?

7. How do you collect, transfer, and maintain organizational and employee knowledge (knowledge assets)? How do you identify and share best practices?

Category 5 – Faculty and Staff Focus

The Faculty and Staff Focus Category examines how your organization enables faculty and staff to develop and utilize their full potential, aligned with the organization's objectives, strategies, and action plans. It also describes how work environment and organizational climate improvement efforts are conducive to performance excellence and to personal and organizational growth.

Note: The term faculty and staff refers to your organization's permanent, temporary, and part-time personnel, as well as any contract employees supervised by your organization. Faculty and Staff include managers and supervisors at all levels. Contract employees supervised by a contractor performing support processes should be addressed in Category 6 – Process Management.

1. How do you organize and manage work to enable faculty and staff to develop and utilize their full potential, aligned with the organization's objectives, strategies, and action plans and promote cooperation, initiative, empowerment, innovation, and your organizational culture?

2. How do you evaluate and improve your organization and human resource related processes?

3. How do you achieve effective communication and knowledge/skill/best practice sharing across departments, jobs, and locations?

4. How does your faculty and staff performance management system, including feedback to faculty and staff, support high performance work and contribute to the achievement of your action plans?

5. How do you accomplish effective succession planning? How do you manage effective career progression for all faculty and staff throughout the organization?

6. How do your faculty and staff education, training, and development address your key organizational needs? How do you evaluate the effectiveness of this education and training? How do you encourage on the job use of new knowledge and skills?

7. How do you motivate faculty and staff to develop and utilize their full potential?

8. What formal and/or informal assessment methods and measures do you use to obtain information on faculty and staff well-being, satisfaction, and motivation?

9. How do you use faculty and staff satisfaction assessment findings to identify and determine priorities for improvement?

10. How do you maintain a safe, secure, and healthy work environment? (Include your workplace preparedness for emergencies and disasters.)-

Category 6 – Process Management

The Process Management Category examines key aspects of your organization's process management, including key learning-centered processes for your educational programs, offerings, and services that create student, stakeholder, and organizational value. It also examines key support processes.

Note: Your key learning-centered processes are those most important to maximizing student success. They are the processes that involve the majority of your organization's faculty and staff and produce value for students and stakeholders. They also include the learning-centered processes most critical to adding value to the organization itself, resulting in student success and educational growth. For example, your responses could include: how programs, offerings, and services are designed and delivered; the application of technology; the use of computer-assisted, distance, and Web-based learning, the importance or research and development, and the availability of offerings at different times and locations.

1. How do you determine, and what are (list) your key learning-centered processes that deliver your educational programs, offerings, and student services?

2. How do you incorporate input from students, faculty, staff, stakeholders, suppliers, and partners for determining your key learning-centered process requirements?

3. How do you incorporate organizational knowledge, new technology, cost controls, and other efficiency and effectiveness factors, such as cycle time, into process design and delivery?-

4. How do you systematically evaluate and improve your learning-centered processes?

5. What are your key support processes, and how do you evaluate, improve and update these processes to achieve better performance?

Note: Support processes are those that support your organization's products/services. For many organizations, this might include information and knowledge management, finance and accounting, facilities management, research and development, administration, inter-governmental relations, legislative and public affairs and marketing. Please address those key support processes most important to your organization and how you operate.

6. How does your organization ensure that adequate budgetary and financial resources are available to support your operations? How do you determine the resources needed to meet current budgetary and financial obligations, as well as new initiatives?

Category 7 – Organizational Performance Results

The Organizational Performance Results Category examines your organization's performance and improvement in all key areas: student learning outcomes; student- and

stakeholder-focused outcomes; budgetary, financial, and market performance; faculty and staff outcomes; operational performance; and leadership and social responsibility. Performance levels are examined relative to those of competitors and other organizations providing similar programs and services.

Quantitative measures may be supplemented by a discussion of qualitative measures where appropriate; however, every effort should be made to use appropriate quantitative measures that can be charted to show trends and comparisons to benchmarks.

7.1   What are your performance levels and trends for your key measures on student learning, and improvements in student learning? How do your results compare to those of your competitors and comparable organizations?

7.2   What are your performance levels and trends for your key measures on student and stakeholder satisfaction and dissatisfaction? How do your results compare with competitors and comparable organizations?

7.3   What are your performance levels for your key measures on budgetary and financial performance, including measures of cost containment, as appropriate?

7.4   What are your performance levels and trends for your key measures on work system performance, faculty and staff learning and development, and faculty and staff well-being, satisfaction, and dissatisfaction?

7.5   What are your performance levels and trends for your key measures of organizational effectiveness/operational efficiency, learning-centered and support process performance (these could include measures related to the following: student performance and development; the education climate; responsiveness to student and stakeholder needs; supplier and partner performance; and cycle time).

7.6   What are your performance levels for your key measures related to leadership and social responsibility:
a.)   accomplishment of your organizational strategy and action plans;
b.)   stakeholder trust in your senior leaders and the governance of your organization;
c.)   fiscal accountability; and, regulatory, safety, accreditation, and legal compliance.

Note: Address only top-level results showing aggregate measures of organizational performance that are reflective of the value added to students, faculty and staff, and stakeholders. Please include comparative data as applicable. These results are typically captured in performance goals, planning documents and accreditation reports.

Note: Results information (i.e. each chart, graph, table) reported for Category 7 should be referenced to the specific question number (Ex. *Chart 7.1-1, Graph 7.1-2, Table 7.1-3*). The third digit identifies the sequential position of the specific chart, graph or table included in your response to each question.

SUBMISSION GUIDELINES

The FY 2006 - 2007 Accountability Report should be submitted in PDF format whenever possible. If you are unable to submit the report in PDF format, the word processing format you normally use will be satisfactory. If your agency does not use computers, you may submit a typed report, which will be scanned.

In an effort to standardize length, the length is a maximum of 50 pages. The suggested font is Times New Roman, 12 point.

Four (4) printed copies and either an e-mailed version of the report or a CD containing the Accountability Report should be submitted to the Office of State Budget at the following address by Friday, September 14:

Office of State Budget

Attention: Karen Rhinehart

1201 Main Street, Suite 870

Columbia, SC 29201

Note: The data may be e-mailed to **Krhinehart@budget.sc.gov** and copies sent to the above address.

If you have questions regarding the submission of your Accountability Report, please contact either Suzie Rast – srast@budget.sc.gov, 803-734-0647 or Garry Monjo – gmonjo@budget.sc.gov, 803-734-0919.

For additional help or information, please refer to the Office of State Budget Website: www.budget.sc.gov. The Baldrige Criteria document includes a glossary of terms and other useful information.

THE DEADLINE FOR SUBMISSION OF ACCOUNTABILITY REPORTS (ELECTRONIC & FOUR PRINTED COPIES) IS FRIDAY, SEPTEMBER 14, 2007.

Accountability Report Transmittal Form

Organization Name _____

Date of Submission _____

Organization Director _____

Organization Contact Person _____

Organization Contact's Telephone Number _____